

ERA User Guide for Scheduling Records

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NOTE: Information in this guide is effective until the next ERA update in approximately August 2011.

GENERAL INFORMATION

- General Tips

- Contacts

SCHEDULING RECORDS IN ERA

WHAT IS NEW

- A New Electronic Form

- New Job Numbers

- Overviews

KNOWN ISSUES AND WORK-AROUNDS FOR RECORDS SCHEDULING IN ERA

- Issues Specific to the Current Release

- General Issues

ERA SCHEDULING & APPRAISAL WORKFLOW

- ERA Roles

- Creating a Records Schedule

- Internal Agency Vetting

- Submitting a Records Schedule to NARA

- Appraisal Workflow

- Notifications

- Access to schedules after approval

DEFINITION OF FIELDS

- General Information Tab

- Item Information Tab

- Item Information

STEP-BY-STEP INSTRUCTIONS

- Creating a Records Schedule

- Creating Disposition Overviews and Items

- Add Records Schedule Item(s) and Overview(s) to an Existing Overview

Adding Multiple Transfer/Accessioning Instructions to a Records Schedule Item

Modify a Records Schedule – General Information and Item Information

Moving a Records Schedule Overview or Item

Reordering Disposition Overviews and Items

Submit a Records Schedule for Certification

Certify a Records Schedule

Deleting Records Schedules or Parts of Records Schedules

Printing a Records Schedule

Search for a Records Schedule

LEGACY RECORDS SCHEDULES

What are Legacy Records Schedules

How to request that a legacy authority be entered into ERA

GENERAL INFORMATION

General Tips

- If you attempt to log in to ERA and receive the message “Access Denied” please first contact the ERA Help Desk to determine if your password has expired and needs to be reset.
- Please use Firefox or Internet Explorer 7. If you use Internet Explorer 8 you will experience difficulty using the system.

Contacts

Questions about scheduling or appraisal of records? Contact your agency’s appraisal archivist. For a list of agencies and appraisal archivists, go to <http://www.archives.gov/records-mgmt/appraisal/work-group-all.html>.

SCHEDULING RECORDS IN ERA

WHAT IS NEW

A New Electronic Form

The most significant change between the way you have been scheduling records and scheduling records in ERA is that the SF-115 has been replaced with an electronic form. All records schedules will now be submitted to NARA electronically. This new electronic form is much more structured. The old SF-115 had only a few fields and the bulk of the content was free-form. The new form in ERA includes the old required fields (Agency Name, Major and Minor Subdivision, etc.), but also provides fields to guide schedulers to ensure that information required by the CFR for appraisal is included in the schedule.

While the format of schedules has changed in ERA, the methods by which records can be scheduled have not. ERA can still accommodate traditional series-based schedules as well as “big bucket” and flexible schedules, or even a combination of the two.

Please note that while the records schedule will be submitted and maintained electronically, appraisal dossiers (including a printed version of the schedule) are still maintained in paper. NARA is in the process of developing an automated workflow system for appraisal, but does not have an estimate at this time of when that system will be operational.

New Job Numbers

Job Numbers are now assigned upon creation of the records schedule. They have a similar format to the Job Numbers that NARA has used in the past: they include a prefix (DAA or DAL), the Records Group, the Fiscal Year in which the schedule was created, and a sequential number.

The new prefixes indicate the type of Job Number:

DAA=Disposition Authority Agency: This indicates a new “born-in-ERA” records schedule created by an agency.

DAL=Disposition Authority Legacy: This prefix indicates that the records schedule is legacy information, meaning that it is the ERA Records Schedule ID assigned to a previously approved records schedule. NARA is entering previously approved records schedules so that disposition authorities are available for transferring records via ERA. See the section “Legacy Records Schedules” for more information.

Please note: Schedule numbers no longer reflect order of submission to NARA (as they have in the past), but instead order of creation by the agency. If you create a schedule in one fiscal year but do not submit it until the next, the schedule number will reflect the fiscal year in which the schedule was

created. Also, if a schedule is created but deleted, that schedule number will not be reused and therefore there could be gaps in job numbers.

Item Numbers

A significant change to scheduling records in ERA is the item numbering scheme. Records schedules have often relied on an outline format with numbers/letters in hierarchical relationship, for example:

1. Audit Case Files

a. Headquarters Case Files

Disposition Instruction: TEMPORARY. Cut off at end of calendar year in which case closed. Destroy 15 years after cutoff.

b. Field Case Files

Disposition Instruction: TEMPORARY. Cut off at end of calendar year in which case closed. Destroy 10 years after cutoff.

ERA assigns a simple four-digit number (0001, 0002, 0003, etc.) to each item or disposition instruction. It does not use hierarchical numbers such as 2A, 7(a)1, 3.1.4, etc. You can still create outline structures with headings and overarching descriptions, but headings are not numbered. For example:

Audit Case Files

0001 Headquarters Case Files

Disposition Instruction: TEMPORARY. Cut off at end of calendar year in which case closed. Destroy 15 years after cutoff.

0002 Field Case Files

Disposition Instruction: TEMPORARY. Cut off at end of calendar year in which case closed. Destroy 10 years after cutoff.

KNOWN ISSUES AND WORK-AROUNDS FOR RECORDS SCHEDULING IN ERA

Issues Specific to the Current Release

- **Do not use the “Does the agency have an associated manual?”** field even if your agency does have a manual. This field and its associated fields are going to change in the next release of ERA. If you enter information into these fields it will be lost when we migrate to the format of the new release. This information will be updated on an as-needed basis (for Federal Records Center use) by NARA at a later date.
- **Superseded citation section:** If you select “Yes” for the “Is this a change to an approved schedule?” field a free-text field appears to enter the superseded disposition authority. Currently, this field is not repeatable. If you are superseding multiple disposition authorities, please enter all superseded authorities in the item description field. If you are only

superseding one authority, you may use the field provided. This field should be repeatable after the next system update.

- **Order of fields for Temporary disposition instructions:** The order of fields for temporary records in the current release is cutoff instruction, retention period, and transfer to inactive storage instruction. This will be amended in the next release to the more standard ordering: cutoff instruction, transfer to inactive storage instruction, and retention period.
- **Cutoff Instructions:** In the current system all disposition instructions are based on cutoff. If you use one of the options based on cutoff you will need to enter a cutoff instruction. If you do not use cutoff instructions, enter your instruction in the “Other” option.
- **“Records to which these Transfer instructions apply” field for Permanent records:** This field is misplaced. This field does not relate only to Transfer to Inactive Storage instructions, but to the entirety of the Transfer Information section. This field will be moved in the next release.
- **Transfer to Inactive Storage Instructions fields** (“Transfer To”, “Time After Cutoff When Transfer Occurs,” and “Estimated Date of First Transfer”). The “Transfer To” and “Time After Cutoff When Transfer Occurs” fields will be replaced by a free-text field for any instructions relating to transfer to inactive storage (FRCs or non-NARA storage facilities). Instructions for transfer to inactive storage do not require NARA approval and may be included in agency disposition manuals even if they do not appear on the NARA-approved schedule. Therefore, you are not required to include this information. If you do enter information into these fields it will be migrated into the single free-text field during the next release. The “Estimated Date of First Transfer” field will be removed in the next release. Do not enter data into this field as it will not be migrated into the next version.
- **“Estimated Date of First Accession” field:** This field will no longer exist in the next release of ERA. In the meantime, because it is a required field, please enter a future date. The information in this field will not be migrated to the new format in the next release.
- **Pre-accessioning Instructions:** Pre-accessioning instructions are used when an agency plans to transfer physical custody of permanent electronic records to NARA before legal custody can be transferred. In the current system, pre-accessioning instructions are part of the Transfer to Inactive Storage section. In the next ERA release there is an option to add a pre-accessioning instruction for permanent electronic records. For the time being, if you are including a pre-accessioning instruction, please

use the “Other” field under Transfer to NARA for Accessioning to enter the complete instruction for transferring to NARA.

- **Additional information for permanent records** (“Estimated Current Volume” and “Annual Accumulation”) are marked as mandatory. These fields are not required per the CFR. You may enter “Unknown” in the Unknown field in this section. This will be fixed in the next release.
- **Moving and Reordering Items:** The system currently has limited move and reorder functionality. It cannot do certain things, such as move an item over an overview then move it back below the overview. We recommend that you figure out the order of your items and overviews before entering the items into ERA. This is particularly critical if you are creating a complex schedule.
- **“OK” does not save:** The “OK” button is available when creating or editing an item or overview. “OK” does not save your work. It only closes the item or overview you were working on. You must also select “Save” in order to keep what you have done. You can create multiple items and overviews without the system prompting you to save. If you exit the system without selecting save all of your work will be lost, so save after creating each item or overview.
- **There are two “Cancel” buttons.** There is “Cancel” button on the left side of the screen (both at the top and bottom) that applies to the schedule as a whole. If you select the left-hand “Cancel” button it will ignore any changes not previously saved on the schedule as a whole. If you are creating or editing an item or overview, there is an additional “Cancel” button on the right-hand side of the screen. The right-hand “Cancel” button only applies to the item or overview. If you select this “Cancel” button it will ignore anything done on the specific item or overview on which you are working and return you to the hierarchy tree.
- **Submitting additional documentation:** Additional documentation such as internal concurrences, technical questionnaires, and any additional background documentation cannot currently be submitted via ERA. However, the ability to attach documents to the schedule should be available in the next release of ERA. In the meantime, all additional documentation should be sent to your appraisal archivist, either through the mail or e-mail. Documentation that is appropriate for inclusion in the appraisal dossier will be included as all appraisal dossiers are currently maintained in paper.
- **Notifications:** The system does not automatically notify your appraisal archivist when a schedule has been submitted to NARA (when it has been certified by the agency’s Certifying Official). PLEASE BE SURE TO

CONTACT YOUR APPRAISAL ARCHIVIST TO LET THEM KNOW A SCHEDULE HAS BEEN SUBMITTED.

- **Revisions during appraisal:** Currently, there is no way in ERA to return a schedule to an agency for revisions. This should be fixed in the next release. In the meantime, all revisions will have to be made by the appraisal archivist with written approval/concurrence of the agency documented in the appraisal dossier.

General Issues

- **Do not use the “Back” button on your browser navigation bar.** Only use the navigation buttons provided in the system itself. Using the “Back” button can cause errors, data loss and may even kick you out of the system.
- **To create an item or overview, you must select either the records schedule folder icon or an overview in the hierarchy tree under which the item or overview is to appear.** The item/overview will appear at the bottom of the selected location. Items can be moved between or out of overviews or reordered.
- **Item numbers may not appear in order.** ERA automatically assigns item numbers at the moment of creation. If you delete the item prior to submission to NARA that number is no longer available. For this reason, you may find gaps in item numbers. Similarly, if items are moved or reordered after creation they retain their originally assigned item number. Because of this, the item numbers in your schedule may not be in sequential order.
- **Content must be saved in order for it to appear in the PDF view.** The system does not prompt the user to save, so if you open the PDF view and entered content does not appear, first try saving your work and reopening the PDF.
- **Limitations on Create from Existing functionality.** New records schedules can be created in ERA from schedules that already exist in ERA. This is particularly useful if you want to revise and submit a schedule that has been withdrawn. However, schedules can only be created from other schedules with the DAA prefix (those that were initially created in ERA). You cannot create new schedules from legacy schedules (DAL schedules) in ERA.

ERA SCHEDULING & APPRAISAL WORKFLOW

ERA Roles

There are four system user roles associated with scheduling records using ERA. An individual may have multiple roles:

Agency roles:

Records Scheduler: Agency staff members responsible for preparing records schedules and submitting them to the Certifying Official.

Certifying Official: Usually the agency representative responsible for designating the official status of the records schedule before submitting it to NARA for review and approval. This is the person that currently has the authority to sign paper SF115s and SF258s for the agency.

NARA roles:

Records Scheduler NARA: NARA staff members that are authorized to create and submit records schedules for certification on behalf of an agency (this is rare) or who can create legacy schedules behalf of NARA.

Records Appraiser: NARA staff members responsible for assessing the value of records and recommending which records should be accessioned into NARA's legal custody and which records should be disposed of after a period of retention specified in the records schedule.

Creating a Records Schedule

A records schedule generally will be created by an agency Records Scheduler. This person may be the agency Records Officer or any user in the agency that has an account with the Records Scheduler role. Records schedules can also be created by NARA staff on behalf of the agency, but this is rare.

Once the Records Scheduler completes the schedule, she or he must submit it for certification by the Certifying Official in order for it to be submitted to NARA.

Internal Agency Vetting

There is no workflow in ERA for internal agency vetting because agencies have different internal review and approval processes. ERA is a role-based

system that allows the user to interact with business objects (such as the records schedule) based on their user role. There are only two user roles associated with the records schedule: Records Scheduler and Certifying Official. The Certifying Official must be the final approver in your internal agency vetting process because once the Certifying Official certifies the schedule it is officially submitted to NARA and no longer accessible by the agency until the schedule is approved or withdrawn (or in the next release returned to the agency for revision). For most agencies the Certifying Official will be the agency Records Officer (some departmental components must submit schedules through their departmental Records Officer depending on their internal procedures).

If an agency has additional internal vetting beyond the Records Officer, the agency has a couple of options to distribute the schedules to reviewers. Agencies can print or save a PDF copy of the schedule to distribute for review, similar to current processes for vetting paper SF-115s. The other option is to assign reviewers the “Records Scheduler” role that would allow them access to the system and the ability to make changes prior to the Certifying Official certifying the schedule and submitting it to NARA. In both cases, however, internal concurrence signatures must be captured outside the system. If internal concurrences are submitted to NARA they can be submitted outside of ERA or after the next release as an attachment to the schedule. Agencies are required to let NARA know on the schedule if internal agency concurrences will be provided.

Submitting a Records Schedule to NARA

The agency’s Certifying Official, usually the agency Records Officer or whoever has authority to sign SF-115s for the agency, is tasked with certifying a schedule in ERA. This is the same step as when the Records Officer signs a paper SF-115. Whoever currently signs your agencies SF-115s should be the Certifying Official for your agency.

Once the schedule is certified it officially submitted to NARA for appraisal and approval. This is how schedules are submitted to NARA in ERA. If the schedule is not certified, it has not been submitted to NARA.

Currently, there is no notification process in ERA for alerting your appraiser that one of their agencies has submitted a new schedule. Please contact your appraisal archivist when a schedule has been certified.

Appraisal Workflow

Currently, ERA is only for drafting, submitting, and final approval of records schedules. The appraisal process occurs outside of the system.

Correspondence between the appraiser and the agency, internal NARA stakeholder review, and the Federal Register process, and the final appraisal memo are not captured in ERA but in the appraisal dossier, which is still a paper record not currently part of ERA. NARA does not currently make appraisal dossiers available to agencies except upon request.

The only part of the appraisal workflow that presently occurs in ERA is approval of the schedule. Schedules will continue to be approved as they have been outside of ERA, generally with the Archivist of the United States as the final approver. All signatory information (Certifying Official to Archivist) appears on the Signatory Tab.

Notifications

Notifications in ERA are still in development. In the meantime, continue to correspond with your appraisal archivist outside of ERA to let her/him know when a schedule has been submitted to NARA. Appraisal archivists will continue to inform agencies about the status of their schedules via monthly status reports.

Access to schedules after approval

Once a schedule is approved it is accessible by the submitting agency. Agencies can access their schedules through ERA. If they want access to appraisal dossiers they must ask their appraiser.

DEFINITION OF FIELDS

General Information Tab

Records Schedule ID: This field corresponds to the Job Number field on the paper SF-115. It contains a system-generated number. The Records Schedule ID includes a prefix (DAA in most cases), the Record Group, the Fiscal Year in which the schedule was created, and a sequential number.

Agency or Establishment: This field corresponds to box 1 on the paper SF-115. It contains the agency or establishment for which the schedule applies. The field is auto-populated based on the user's profile. If a user has more than one agency associated with her or his profile, she or he will have a drop-down menu to select the appropriate agency. This is a required field.

Record Group: This field contains the NARA Record Group associated with the Agency or Establishment. If there is more than one Record Group

associated with a particular Agency or Establishment the user must select the appropriate Record Group from a drop-down menu of selections. This is a required field.

Schedule Subject: This is a field for entering a short title for the records schedule. For example: "Office of the Inspector General Records" or "Bio-Medical Research Records." This is a required field.

Records Schedule applies to: This field indicates the schedule's scope, whether it applies to only a specific office or subdivision within the agency or to records created anywhere in the agency (agency-wide).

Major Subdivision and Minor Subdivision: These fields correspond to boxes 2 and 3 on the paper SF115. The Major Subdivision field is required if "Major Subdivision" has been selected in the "Records Schedule applies to" field.

Internal agency concurrences will be provided: This field allows an agency to indicate whether or not internal agency concurrences will be provided to NARA for the schedule. A yes or no response is required.

Legacy Data: This field indicates if the schedule is legacy data, meaning that the original schedule was approved outside of ERA. This is a NARA only field and is disabled for agency users. If the field states "Yes" in an approved schedule an additional field will appear with the legacy (original) job number.

Background Information: This is an optional field that allows the agency to enter information relevant to the overall schedule, such as a description of the organizational subdivision to which the records schedules pertains or the larger program the records document.

Items requiring GAO review: GAO approval is no longer indicated at the schedule level. Instead, the need for GAO approval is indicated at the item level. Individual items requiring GAO approval will automatically appear under this field on the General Information tab once the items are created.

Records Scheduler: This information auto-populates based on the user's profile. The information includes first and last name, title, phone number and e-mail address.

Contact Persons: These fields are available to enter contact information for persons who can provide additional information during the appraisal process. Required data fields include "Last Name," "Phone," and "E-mail" for at least one contact person. The "First name" and "Title" fields are optional. Multiple contact persons can be added via the "Add" button. To delete a contact

person, check the box before the person's name and click on the "Delete" button.

Item Information Tab

The Hierarchy Tree: Once the user saves the General Information tab a new tab will appear for Item Information. The first thing the user sees on this tab is a box that looks similar to a file directory. This directory contains a single folder labeled with the Records Schedule ID. This directory is the "hierarchy tree," or a view of all the items and overviews on the schedule. As new items or overviews are created they will appear in the hierarchy. There are buttons beside the hierarchy tree for adding overviews and items and to move, reorder, or delete them from the hierarchy.

Overviews: "Overview" is just a new word for an old concept. Overviews have always been an option when creating records schedules, just not with that name. They are simply descriptive information used to group items under common descriptive headings. There are no sub-items in ERA, just items. An item is the level of description that contains the actual disposition instruction. Descriptive information that relates to multiple items is captured in an Overview. For example, a schedule with sub-items looks like the following:

1. Inspector General Audit Files. Records accumulated by the Office of the Inspector General (OIG) relating to audits.

a. Final reports. Final report as issued by the OIG.

b. Substantive background papers. Drafts submitted to audited offices for review, comments by audited offices, approvals and concurrences and related records.

In ERA, the hierarchy tree for this example would look like:

- └ Inspector General Audit Files
 - ┆ Final Reports
 - ┆ Substantive background papers

Overviews are identified in the hierarchy tree by the folder icon. Items are identified with a document icon. The descriptive information in the first example would be contained in separate fields related to the overview and items.

There are two fields associated with overviews:

Overview Title: A short descriptive title associated with the overview, such as “Inspector General Audit Files”. This is required field when creating an overview.

Overview Description: A longer descriptive field associated with the overview title.

It is possible to have overviews nested within other overviews. For example, if you have a comprehensive schedule, you may create an overview related to each office or program and overviews within them associated to similar groupings of records. The only requirement is that each overview set must terminate in at least one item. Items do not have to have an overview. The example below shows how overviews could be used. Disposition items are identified with numerals. Note that ERA does not use a hierarchical numbering scheme (e.g. 1a, 1b, etc.). Overviews are identified by the folder icon and items by the document icon.

- └ Office of the Inspector General
 - └ General Correspondence
 - └ Inspector General Audit Files
 - └ Final Reports
 - └ Substantive Background Papers
 - └ Case File Tracking System
 - └ Master Data Files
 - └ Monthly Reports

Item Information

Disposition Authority Number: This field contains a system-generated number including the ERA Schedule ID followed by the item number, a four-digit sequential number (e.g., 0001, 0002). ERA does not use a hierarchical numbering scheme for items.

Title: This field is for series name of the records series being scheduled. This is a required field.

Description: This field is for the description of the records being scheduled. This is a required field.

GAO Concurrence Required: The need for GAO concurrence is no longer indicated at the schedule level, as it is on the paper SF115, but instead at the individual item level. This field is where the user indicates whether or not GAO concurrence is required prior to NARA approval. If the user selects “Yes” additional check box fields appear to indicate whether concurrence has been requested and received. The schedule can be submitted with only “Requested” checked. If you select, “Requested,” NARA staff will need to receive a copy of the GAO concurrence document before the records

schedule can be approved. Both “Requested” and “Received” must be selected in order for the schedule to be approved.

Legacy Data: This field pre-populates based on whether the schedule was indicated as legacy or not on the general information tab. This field is disabled for agency users (only NARA staff may create schedules for legacy data). If “Yes” appears beside this field the schedule was originally approved outside of ERA and an additional field will appear that contains the legacy schedule item number.

Is this item media neutral?: This field allows the user to indicate if the item is media neutral or not. Since December 17, 2007, all schedule items are considered media neutral unless specifically stated otherwise, so this field defaults to “Yes.” If the records being scheduled are media-specific, select “No.”

Explanation of limitation: If “No” is selected for “Is this item media neutral?” (indicating the item is NOT media neutral) then this free-text field appears for the user to indicate the limitation of the applicability of the disposition instruction. This explanation can be expressed in either the positive or the negative (what it can apply to or what it cannot apply to). For example, if a disposition instruction only applies to paper records enter “Applies only to paper records.” For a disposition instruction that excludes databases, enter “Does not apply to electronic databases.” This field is required if the schedule is not media neutral.

Does agency have an associated manual?: This field allows the user to indicate if the item has an associated agency manual citation. If “Yes” is selected, additional fields appear to enter the Manual ID/Version and File Code. *Please note: NARA asks at this time that agencies not use these fields because they will be changing in the next release. Whether you have a manual or not, please select “No.”*

Is this a change to an approved schedule?: This field is used when the item is superseding an existing item. If “yes” is selected, additional fields appear: “Previously Approved Disposition,” “Previously Approved Retention Period” (if temporary is selected), “Superseded Disposition Authority Number,” “Superseded Manual ID/Version,” and “Superseded File Code.” *Please note: NARA asks at this time that agencies not to use these fields because this section of the record schedule is going to change significantly in the next release and most of the additional fields will disappear. Select “No” and include any superseded authorities citations in the item’s “Description” field. NARA staff will move the information to the appropriate new fields after the next release.*

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?: This field allows the user to indicate whether the records currently exist in an electronic format other than e-mail or word processing files. This information is used during appraisal. Indicate “Yes” or “No.” This field is required.

Do any of the records covered by this item exist as structured electronic data?: If “Yes” is selected for “Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?” then this field appears. The user must indicate if the records exist as electronic structured data, or in other words, as a database or fielded data.

Final Disposition: This field indicates the disposition of the records. Select Permanent or Temporary as appropriate (the system defaults to Temporary).

Cutoff Instruction: This is an optional free-text field for entering a cutoff instruction for the records, for example: “Cut off at the end of the calendar year in which the case closes.” If your agency does not use cutoff instructions in its disposition instruction, do not use this field. *Please note: In the current release the permanent disposition instruction options are all based on cutoff. If you use one of the options based on cutoff you will need to enter a cutoff instruction. If you do not use cutoff instructions, enter your instruction in the “Other” option.*

Records to which these Transfer Instructions apply (Permanent Items only): ERA allows for multiple transfer instructions to be created for a single permanent item to accommodate flexible scheduling and different instructions based on the format of the record. For example, you can create an instruction such as “Transfer electronic records to the National Archives 3 years after cutoff. Transfer paper records to the National Archives 20 years after cutoff.” To do this in ERA you create multiple sections of the Transfer Information (see [Adding Multiple Transfer/Accessioning Instructions to a Records Schedule Item](#) in the Step-by-Step instructions). The Records to which these Transfer Instructions apply field is used to define the records to which the particular Transfer Instruction section applies. Standard format options are available as is a free-text option (other). *Please note: This field should only be used if you need to write multiple transfer instructions. IF THERE IS ONLY A SINGLE INSTRUCTION FOR THE ITEM, DO NOT USE THIS FIELD.*

Transfer to Inactive Storage: This section includes three fields, “Transfer To”, “Time After Cutoff When Transfer Occurs,” and “Estimated Date of First Transfer.” It is possible to create multiple instructions for transferring records to inactive storage. For example, you can create an instruction such as “Transfer to off-site agency storage 3 years after cutoff. Transfer to the Washington National Records Center 10 years after cutoff.” To do this in

ERA you create multiple sections of the Transfer Information (see [Adding Multiple Transfer/Accessioning Instructions to a Records Schedule Item](#) in the Step-by-Step instructions) repeating the Transfer to Inactive Storage fields. *Please note: The “Transfer To” and “Time After Cutoff When Transfer Occurs” fields will be replaced by a free-text field in the next release of ERA. Instructions for transfer to inactive storage do not require NARA approval and may be included in agency disposition manuals even if they do not appear on the NARA-approved schedule. Therefore, you are not required to include this information. If you do enter information into these fields it will be migrated into the single free-text field. The “Estimated Date of First Transfer” field will be removed in the next release. Do not enter data into this field as it will not be migrated into the next version.*

Retention Period (Temporary Items): Select one of the options as appropriate. Please try to use the options provided rather than the “Other” field.

Transfer to NARA for Accessioning (Permanent Items): Select an option as appropriate. Please try to use the options provided rather than the “Other” field if at all possible. This instruction should literally only state when the records are eligible for transfer to NARA. Any additional instructions about cutoff or maintenance of the records should either go in the Cutoff Instruction or in the Description field as appropriate.

Estimated date of first accession (Permanent Items only): This field was intended for agencies to indicate when permanent records would first be transferred for NARA planning purposes. This field will no longer exist in the next release of ERA. In the meantime, because it is a required field, please enter a future date. The information in this field will not be migrated to the new format in the next release.

If records are not transferred to NARA physical custody when legal custody is transferred, specify institution that will maintain physical records (Permanent Items only): Sometimes records remain in the physical custody of another institution (an “affiliated archives”) after NARA accepts legal custody. If the records will reside in an affiliated archives this field is where the user indicates the specific institution that will maintain physical custody of the records. This field is rarely used as transfer to affiliated archives is rare.

Additional Information: This section allows the user to identify record formats and current volume and annual accumulation of the records covered by the item. The system currently requires these fields for permanent items because it is based on old CFR requirements. The requirements have since changed so that volume and estimated annual accumulation are no longer

required. These fields should be optional after the next ERA release. In the meantime, you can enter “Unknown” in the “Unknown” field.

First Year of Records Accumulation (Permanent Items only): This is a mandatory field for permanent records where the user indicates when the agency began to accumulate the records described by the item.

End Year of Records Accumulation (Permanent Items only): In most cases the records are still being created, so the user can leave this field on the default setting, “Records are still being accumulated”. If the records are no longer being created select “Records ceased accumulation in:” and enter the year the records ceased accumulation.

STEP-BY-STEP INSTRUCTIONS

The following information is also available in the ERA system itself.

Please note: Selecting *Cancel* discards all of the information entered by the user since the last save. Any information that has been entered or any action taken will not be captured.

Please note: Selecting *OK* or submitting the schedule for certification initiates verification and validation processes that are performed by the ERA System. If errors are found, the user will be notified. The errors must be corrected before proceeding.

Creating a Records Schedule

Creating a New Records Schedule

When you log in as a Records Scheduler, the Records Scheduler workbench appears.

1. In the main window at the top of the screen, select **Create -- Records Schedule**.
2. Enter and select all required information to complete the Records Schedule **General Information** screen.
3. Select the **Save** Button.
4. Select the **OK** Button in the resulting popup window. The Item Information tab will be created.
5. Select the **Item Information** tab.
6. Select the **Add Item** Button.
7. Enter and select all required information to complete the **Add Records Schedule Item** screen and select the **OK** Button.

8. Select the **Save** Button to save the Records Schedule complete with the addition of the Records Schedule Item.
9. Select the **Submit For Certification** option in the **Next Action** dropdown and select the **Go** Button.

Creating a Records Schedule from an Existing Schedule

When you log in as a Records Scheduler, the Records Scheduler workbench appears, which includes an option to Search. In order to create a records schedule from an existing Records Schedule, a search must be performed for the existing Records Schedule you wish to use.

1. In the main window at the top of the screen, select **Search -- Business Object**.
2. Enter search criteria and/or select the **Search** Button.
3. Select the **Records Schedule ID** link in the **Search Results List**.
4. Select the **Create from Existing** option.
5. Modify the existing data as necessary to complete the Records Schedule **General Info** screen.
6. Select the **Save** Button.
7. Select the **OK** Button in the resulting **Message** popup window.
8. Select the **Item Information** tab.
9. Select the **+** symbol to expand the Records Schedule.
10. Select the **Overview** or the **Records Schedule** Item to view the details.
11. Modify the **Overview** or the **Records Schedule** Item, accordingly.
12. Select the **Save** Button to save the Records Schedule.
13. Select **OK** in the resulting popup window.
14. Select the Submit **Submit For Certification** option in the **Next Action** dropdown and select the **Go** Button.

Creating Disposition Overviews and Items

Create a Disposition Overview

1. Select the link to the Records Schedule from the Business Objects Task List.
2. Select the **Item Information** tab.
3. Select the **Add Overview Button**.
4. Enter and select all required information to complete the Add Disposition Overview form and select the **OK** Button.
5. Select the **Save** Button to save the Records Schedule.

Create a Records Schedule Item

1. Select the link to the Records Schedule from the inbox.
2. Select the **Item Information** tab.
3. Select the **Add Item** Button.
4. Enter and select all required information to complete the **Add Records Schedule Item** screen and select the **OK** Button.
5. Select the **Save** Button to save the Records Schedule complete with the addition of the Records Schedule Item.

Add Records Schedule Item(s) and Overview(s) to an Existing Overview

Add a Records Schedule Item:

1. Select the link to the Records Schedule from the Business Objects Task List.
2. Select the **Item Information** tab.
3. Select the root Records Schedule or an existing **Overview**.
4. Select the **Add Item Button**.
5. Enter and select all required fields to complete the **Add Records Schedule Item** form and select the **OK** Button.
6. Select the **Save** Button to save the changes to the Records Schedule.

Add a Disposition Overview:

1. Select the link to the Records Schedule from the **Business Objects Task List**.
2. Select the **Item Info** tab.
3. Select the root Records Schedule or an existing **Overview**.
4. Select the **Add Overview** Button.
5. Complete the required field(s) to complete the **Add Records Schedule Overview** form and select **OK** Button.
6. Select the **Save** Button to save the changes to the Records Schedule.

Adding Multiple Transfer/Accessioning Instructions to a Records Schedule Item

1. Select the Records Schedule Item that will receive additional Transfer Instructions.
2. Select the **Edit** Button.
3. Scroll down to the Transfer Information Section.
4. Select the **Add** Button to add additional Transfer Information Section.

5. Enter and select the required fields to complete the Transfer Information form.
6. Repeat steps 4 and 5 for every addition transfer instruction.
7. Once complete, click the **OK** Button.
8. Select the **Save** Button to save the Records Schedule.

Modify a Records Schedule – General Information and Item Information

1. Select the Records Schedule from the Business Objects Task List.
2. Modify any of the editable fields on the **General Info** tab.
3. Select the **Save** Button.
4. Select the **OK** Button in the resulting popup window..
5. Select the **Item Information** tab.
6. Select the **Records Schedule Item** that will be edited.
7. Select the **Edit Button**
8. Modify any of the editable fields on the **Item Information** screen and select the **OK Button**.
9. Select the **Save** Button.

Note: Authorized users, other than the Records Scheduler, are able to modify the Records Schedule at different stages in the Scheduling lifecycle. Editable fields are enabled for the user to modify. Non-editable fields are disabled to the user.

Moving a Records Schedule Overview or Item

Users have the ability to change the hierarchy of the **Records Schedule Items** and **Disposition Overviews**.

Move an Overview

1. Select the **Disposition Overview** to be moved.
2. Select the **Move** Button.
3. Select the **Folder (Record Schedule or Disposition Overview)** for the new location of the **Disposition Overview**.
4. Select **OK**.

Note: When the Disposition Overview is moved, all of the children Disposition Items and sub-Disposition Overviews will move as well.

Move a Records Schedule Item

1. Select the link to the **Records Schedule** from the Business Objects Task List.
2. Select the **Item Information** tab.
3. Select the **Records Schedule Item** to be moved.
4. Select the **Move** Button.
5. Select the **Folder (Disposition Item or Overview)** for the new location of the **Records Schedule Item**.
6. Select **OK**.

Reordering Disposition Overviews and Items

Reorder a Disposition Overview

1. Select the link to the Records Schedule from the Business Objects Task List.
2. Select the **Item Information** tab
3. Select the **Disposition Overview** that will be re-ordered.
4. Select the **Re-order** Button.
5. Select either the **up** or **down** arrow, to the right of the Disposition Items List, until the **Disposition Overview** is in the desired position.
6. Select the **OK** Button.

Note: All Records Schedule Items linked to the Disposition Overview will move with the Disposition Overview.

Reorder Disposition Items

1. Select the link to the Records Schedule from the Business Objects Task List.
2. Select the **Item Information** tab.
3. Select the **Records Schedule Item** that will be re-ordered.
4. Select the **Re-order** Button.
5. Select either the **up** or **down** arrow, to the right of the Disposition Items List, until the **Records Schedule Item** is in the desired position.
6. Select the **OK** Button.

Submit a Records Schedule for Certification

The user must be a Records Scheduler (NARA or Agency) to perform the following steps:

1. Select the link to the Records Schedule from the Business Objects Task List.

2. Select the **Submit for Certification** option from the **Next Action** dropdown and select **Go**.
3. Select **OK** in the resulting popup window.

Certify a Records Schedule

The user must be a Certifying Official to perform the following steps:

1. Select the link to the Records Schedule from the Business Objects Task List.
2. Select **Certify** from the **Select Next Action** dropdown.
3. Select **Go**.
4. Select **OK** in the resulting Popup window.

Deleting Records Schedules or Parts of Records Schedules

Delete a Records Schedule

The user must be a Records Scheduler to perform the following steps:

1. Select **Search –Business Object**.
2. Select the **Advanced Search** tab.
3. Select the Records Schedule option in the **Search For** dropdown.
4. Select and enter known distinct information pertaining to the Records Schedule and select the **Search** Button.
5. Select the **Records Schedule Number** link in the Search Results List.
6. Select the **View** Button on the floating menu.
7. Select the **Delete** Button on the top right of the form.
8. Confirm desire to **Delete** the Records Schedule by selecting **Yes** in the resulting popup window.
9. Select **OK** in the message popup window.

Note: Only Record Schedules in a “Draft” state can be deleted.

Users can choose to execute a simple search, which will return all Records Schedules found in the system that are accessible by an authorized user. Users can also select the Records Schedule from the Business Objects Task List.

Delete a Disposition Overview

To delete a **Disposition Overview**, a user performs the following steps.

1. Select the link to the Records Schedule from the Business Objects Task List.
2. Select the **Item Information** tab.
3. Expand the **Records Schedule** folder by selecting the “+” symbol.
4. Select the **Disposition Overview** that will be deleted.
5. Select the **Delete** Button.
6. Confirm desire to delete the **Disposition Overview** by selecting **Yes** in the resulting popup window.
7. Select **OK** in the message popup window.

Note: Deleting the Disposition Overview will also delete all Records Schedule Items associated with the Disposition Overview. The user does have the option of moving Records Schedule Items to the root Records Schedule prior to deleting the Overview.

Delete a Records Schedule Item

To delete a Records Schedule Item, the user will perform the following steps:

1. Select the link to the Records Schedule from the Business Objects Task List.
2. Select the **Item Information** tab.
3. Expand the **Records Schedule** folder by selecting the “+” symbol.
4. If appropriate, expand the **Disposition Overview** that contains the **Records Schedule Item** that will be deleted.
5. Select the **Records Schedule Item** that will be deleted.
6. Select the **Delete** Button.

*Note: The deleted **Records Schedule Item** is removed from the **Item Information** screen.*

Printing a Records Schedule

A Records Schedule can be printed only after it has been saved. Upon saving, a Records Schedule can be printed at any point during its drafting, review, and approval.

1. In the top highlighted Records Schedule menu bar, click the **View PDF**.
2. Within the **Adobe Reader** window, click on file and select **print** or “**save a copy**” to save the PDF.

Note: Either the entire Records Schedule or selected Records Schedule Item can be printed. To print the selected Records Schedule Item, select the specific pages of the PDF.

Search for a Records Schedule

Users with appropriate privileges can search for and retrieve a Records Schedule.

In the main window at the top of the screen, select **Search -- Business Object**.

Basic Search Instructions

1. Select the **Select Business Objects** radio Button.
2. Select the Records Schedule check box.
3. Enter the **Keyword(s)** (or leave blank) and select the **Search** Button.
4. Search results are returned.
5. Select the Schedule Number link of the desired Records Schedule.
6. Select the **View** Button on the floating menu.

Advanced Search Instructions

1. Select the **Advanced Search** tab.
2. Select Records Schedule from the **Search for:** drop down menu.
3. Enter any **Keyword(s)** and/or enter/select search parameters.
4. Select the **Search** Button.
5. Search results are returned if a Records Schedule (s) includes the search criteria entered.
6. Select the **Schedule Number** link of the desired Records Schedule
7. Select the **View** Button on the floating menu

Wildcard Search Instructions

The **Wildcard Search** allows users to execute a search without knowing the complete set of search criteria.

1. Select the **Advanced Search** tab
2. Select Records Schedule from the **Search for:** drop down menu
3. Enter data into the **Keyword(s)** field and place an asterisk to represent the unknown data
4. Select the **Search** Button
5. Search results are returned if a Records Schedule includes the data entered.
6. Select the **Schedule Number** link of the desired Records Schedule
7. Select the **View** Button on the floating menu

Note: Users can also perform a wildcard search across all Business Objects.

Show Related Instructions

The Show Related functionality allows users to review other objects associated with the Records Schedule.

1. Perform a **Basic**, **Advanced** or **Wildcard** search (instructions above)
2. Select the **Schedule Number** link of the desired Records Schedule
3. Select the **Show Related** option in the floating menu
4. The **Search Results** are reloaded with all related business objects and system objects.

Note: If there are no Records Schedules found that meet the entered search criteria, the system will inform the user.

*Selecting the **Reset** Button clears all fields.*

LEGACY RECORDS SCHEDULES

What are Legacy Records Schedules

Legacy records schedules are approved paper SF-115s. NARA is in the process of entering permanent legacy items into ERA to allow for the transfer of permanent records to NARA. You will need to select the appropriate permanent authority on the ERA transfer request form to transfer permanent records to the National Archives. NARA will also enter legacy schedule temporary items/authorities for records that are stored in Federal Records Centers. This work will not be completed for a few years.

How to request that a legacy authority be entered into ERA

In FY11, NARA staff are only entering legacy disposition authorities for permanent records on an as-needed basis to facilitate transfers.

If you are transferring records to NARA and find you cannot create a Transfer Request because the disposition authority is not available in the system, please contact your appraisal archivist. We will verify that the authority is not in the system and enter it if necessary.